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7590 04/09/2007  
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EXAMINER

LESNIEWSKI, VICTOR D

ART UNIT

PAPER NUMBER

2152

| SHORTENED STATUTORY PERIOD OF RESPONSE | MAIL DATE | DELIVERY MODE |
|--|-----------|---------------|
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3 MONTHS

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

# Office Action Summary

Application No.

09/905,580

Applicant(s)

SIMPSON ET AL.

Examiner

Victor Lesniewski

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 23 January 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-3,5,9-12,14-17,19,23-26,28,33-36 and 38 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3,5,9-12,14-17,19,23-26,28,33-36 and 38 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

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### **DETAILED ACTION**

1. The amendment filed 1/23/2007 has been placed of record in the file.
2. Claims 1, 9-12, 14, 15, 23-26, 28, 33, and 38 have been amended.
3. Claims 6, 7, 13, 20, 21, 27, 29, 30, and 37 have been canceled.
4. Claims 1-3, 5, 9-12, 14-17, 19, 23-26, 28, 33-36, and 38 are now pending.
5. The applicant's arguments with respect to claims 1-3, 5, 9-12, 14-17, 19, 23-26, 28, 33-36, and 38 have been fully considered but they are not persuasive. A detailed discussion is set forth below.

### ***Response to Amendment***

6. Claims have been amended to include limitations in the independent claims that were previously included in now canceled dependent claims. However, none of the amended claims show a patentable distinction over the prior art of record as discussed below. Since the claims have been amended, the rejections will be restated taking into account the amendments.

### ***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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8. Claims 1-3, 11, 12, 15-17, 25, and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wood et al. (U.S. Patent Number 6,453,127), hereinafter referred to as Wood, in view of Hart, Jr. et al. (U.S. Patent Number 6,154,843), hereinafter referred to as Hart.

9. Wood disclosed a method for establishing a user interface to a printer at a remote location where the user interface is downloaded from a web server to the user to allow the user to control the printer. In an analogous art, Hart disclosed a secure remote access computing system that utilizes a custom user interface to allow a user to execute tasks on a secure private network from an unsecured remote computer.

10. Concerning claims 1 and 15, Wood did not explicitly state accessing data that at least indirectly identifies those production options to which the user does not have permission to access. However, Hart's system provides user authorization techniques that allow a user access only to those options to which he has permission and that restrict the user from those options to which he does not have permission. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to modify the system of Wood by adding the ability to access data that at least indirectly identifies those production options to which the user does not have permission to access as provided by Hart. This would make sense because it would allow a higher degree of management and security features in Wood's system. Hart cites the need for more secure remote access of a device which requires only a minimum number of features and sets out to solve the problem with a customized real-time program with which to access the device (see column 2, lines 16-27 and 47-59). This motivation also applies to those dependent claims utilizing the same combination.

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11. Also concerning claims 1 and 15, Wood did not explicitly state that his system could modify the retrieved user interface according to the accessed data so that the interface provides user accessible controls for selecting only those options for which the user has permission to access. Although his system generates a user interface for the user, he is also not explicit about modifying the interface in this way. However, Hart's system dynamically generates a custom program for the user based on a verification of the user's security privileges. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to modify the system of Wood by adding the ability to check for user permissions and modify the interface accordingly as provided by Hart. Again, this would make sense because it would allow a higher degree of management and security features in Wood's system as discussed above.

12. Some claims will be discussed together. Those claims which are essentially the same except that they set forth the claimed invention as a computer program product are rejected under the same rationale applied to the described claim.

13. Thereby, the combination of Wood and Hart discloses:

- <Claims 1 and 15>

A method for mediating access to production options, comprising: acquiring a user's access request for a production device (Wood, column 2, line 65 through column 3, line 8); accessing data that at least indirectly identifies those production options to which the user does not have permission to access (Wood, column 6, lines 1-8 and Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33), each production option corresponding to feature that when implemented affects a manner in which the production device produces a target document (Wood, column 3, lines 54-65); retrieving

a user interface for the production device, the user interface having user accessible controls for selecting production options for the production device (Wood, column 5, lines 3-24 and column 3, lines 54-65); modifying the retrieved user interface according to the accessed data so that the interface provides user accessible controls for selecting only those options for which the user has permission to access (Hart, column 3, lines 3-12 and column 6, lines 12-34); and presenting the user with the modified user interface (Wood, column 5, lines 3-24).

- <Claims 2 and 16>

The method of Claim 1, wherein the act of acquiring comprises intercepting an access request directed to the production device (Wood, column 2, line 65 through column 3, line 8).

- <Claims 3 and 17>

The method of Claim 1, wherein the act of acquiring comprises redirecting the access request (Wood, column 2, line 65 through column 3, line 8).

- <Claims 11 and 25>

The method of Claim 1, wherein the acts of retrieving and modifying are performed on a network device other than the production device (Wood, figure 2, item 30).

- <Claims 12 and 26>

The method of Claim 1 wherein the act of retrieving comprises retrieving the interface in the form of a web page, and the act of presenting comprises presenting the modified web page to a web browser (Wood, column 5, lines 3-24).

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Since the combination of Wood and Hart discloses all of the above limitations, claims 1-3, 11, 12, 15-17, 25, and 26 are rejected.

14. Claims 5, 9, 10, 14, 19, 23, 24, 28, 33, and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wood in view of Hart, as applied above, further in view of Zothner (U.S. Patent Number 6,751,657).

15. The combination of Wood and Hart disclosed a method for establishing a user interface to a printer at a remote location where the user interface is dynamically generated for allowing the user to control the different options of the device for which he has permission. In an analogous art, Zothner disclosed a business rules manager module that associates business rules with actions in terms of the role of a user in the system.

16. Concerning independent claims 14, 28, 33, and like dependent claims, the combination of Wood and Hart did not explicitly state accessing a user record in order to generate the interface. Although the combination of Wood and Hart does check permissions for a specific user, it is not specific about using user records. However, Zothner's system describes a set of user profiles that help define the role of each user and contain security and permission information for each user. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to modify the combination of Wood and Hart by adding the ability to access a user record as provided by Zothner. This would make sense because it would allow a higher degree of management and security features in the combination of Wood and Hart. Zothner cites the need for this expanded capability in management as being important to the availability and reliability of network systems (see column 4, line 62 through column 5, line 12), two features

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that are very important to the combination of Wood and Hart for information access and monitoring. This motivation also applies to those dependent claims utilizing the same combination.

17. Thereby, the combination of Wood, Hart, and Zothner discloses:

- <Claims 5 and 19>

The method of Claim 1, wherein the act of accessing comprises obtaining credentials for the user and locating a user record using the credentials, the user record containing the data that at least indirectly identifies those production options to which the user does not have permission to access (Zothner, column 9, line 64 through column 10, line 8 and Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33).

- <Claims 9 and 23>

The method of Claim 1, wherein the interface is a web page containing instructions for displaying controls for selecting production options and wherein the instructions are associated with one or more tags each tag identifying a particular production option, wherein the act of altering comprises identifying the tags for production options to which the user does not have access and altering the instructions associated with those tags (Zothner, column 19, line 58 through column 20, line 4).

- <Claims 10 and 24>

The method of Claim 1, wherein the act of accessing comprises obtaining credentials for the user and locating a record for the user using the credentials, the record containing the data that at least indirectly identifies those production options to which the user does not



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have permission to access (Zothner, column 9, line 64 through column 10, line 8 and Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33).

- <Claims 14 and 28>

A method for mediating access to production options, comprising: acquiring a user's access request for a production device (Wood, column 2, line 65 through column 3, line 8); retrieving a web page for the production device, the web page having user accessible controls for selecting production options (Wood, column 5, lines 3-24); accessing a record established for the user, the record containing data that at least indirectly identifies those production options to which the user does not have permission to access (Wood, column 6, lines 1-8; Zothner, column 9, line 64 through column 10, line 8; and Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33), each production option corresponding to feature that when implemented affects a manner in which the production device produces a target document (Wood, column 3, lines 54-65); and modifying the retrieved web page according to the user's record so that the web page provides user accessible controls for only those options for which the user has permission to access (Hart, column 3, lines 3-12 and column 6, lines 12-34); and presenting the user with the modified web page so that through the web page the user can cause the production of the target document by the production device in accordance with a selection of one or more of the user accessible controls provided by the user interface (Wood, column 5, lines 3-24 and column 6, lines 18-34).

- <Claim 33>

In a computer network, a system for managing electronic document production, the system comprising: a production server operable to serve to a client an interface having user accessible controls for selecting production options for a target document (Wood, figure 2, item 30 and column 5, lines 3-24), each production option corresponding to feature that when implemented affects a manner in which a selected production device produces a target document (Wood, column 3, lines 54-65); a permission service operable to retrieve the interface from the production server for the selected production device (Wood, column 5, lines 3-24), access a user's record containing data that at least indirectly identifies those production options to which the user does not have permission to access (Wood, column 6, lines 1-8; Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33; and Zothner, column 9, line 64 through column 10, line 8), modify the retrieved interface according to the user's record so that the modified interface has user accessible controls for only those options for which the user has permission to access (Hart, column 5, line 59 through column 6, line 34), and direct to the client the modified interface so that through the interface the user can cause the production of the target document by the selected production device in accordance with a selection of one or more of the user accessible controls provided by the modified interface (Wood, column 5, lines 3-24).

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- <Claim 34>

The system of Claim 33, further comprising a permission engine operable to generate an interface having user accessible controls for managing user records (Zothner, column 9, line 64 through column 10, line 8).

Since the combination of Wood, Hart, and Zothner discloses all of the above limitations, claims 5, 9, 10, 14, 19, 23, 24, 28, 33, and 34 are rejected.

18. Claims 35, 36, and 38 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wood in view of Hart, further in view of Zothner, as applied above, further in view of Adolfsson (U.S. Patent Number 6,092,078).

19. The combination of Wood, Hart, and Zothner disclosed a method for establishing a user interface to a printer at a remote location where the user interface is dynamically generated for allowing the user to control the different options of the device for which he has permission. In an analogous art, Adolfsson also disclosed a method for interfacing network peripheral devices with a web browser where the web browser provides the user with a graphical user interface that allows the user to control different options of the peripherals.

20. Concerning independent claim 38, and like dependent claims, the combination of Wood, Hart, and Zothner did not explicitly state using device records for generating the interface or using a device locator for detecting new devices. However, Adolfsson's system is substantially similar to the combination and does explicitly describe the use of device records for peripherals as well as techniques for locating peripherals new to the system. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to modify the combination

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of Wood, Hart, and Zothner by adding the ability to use device records for generating the interface and use a device locator for detecting new devices as provided by Adolfsson. This would make sense because it would allow a higher degree of management and security features in the combination of Wood, Hart, and Zothner. Zothner cites the need for this expanded capability in management as being important to the availability and reliability of network systems (see column 4, line 62 through column 5, line 12). This motivation also applies to those dependent claims utilizing the same combination.

21. Thereby, the combination of Wood, Hart, Zothner, and Adolfsson discloses:

- <Claim 35>

The system of Claim 34, further comprising one or more device records, each device record containing data representing the production options offered by the particular production device, and wherein the permission engine is operable to parse the device records to generate the interface for managing the user records (Adolfsson, column 9, line 66 through column 10, line 10 and column 16, lines 44-50).

- <Claim 36>

The system of Claim 35, further comprising: a device locator operable to detect new production devices; and an update service operable to create a device record for each newly detected production device (Adolfsson, column 16, line 51 through column 17, line 5).

- <Claim 38>

In a computer network, a system for managing electronic document production, the system comprising: a production device (Wood, figure 2, item 15); one or more user

records, each user record containing, for each production device, data that at least indirectly identifies those production options to which the user does not have permission to access (Wood, column 6, lines 1-8; Hart, column 5, line 59 through column 6, line 11 and column 11, lines 26-33; and Zothner, column 9, line 64 through column 10, line 8), each production option corresponding to feature that when implemented affects a manner in which the production device produces a target document (Wood, column 3, lines 54-65); a production server in communication with the production device and operable to serve an interface for that production device, the interface having user accessible controls for selecting production options for the production device (Wood, figure 2, item 30 and column 5, lines 3-24); a permission service operable to access the user's record, retrieve the interface from the production server, modify the retrieved interface according to the user's record so that the modified interface has user accessible controls for only those options for which the user has permission to access (Wood, column 5, lines 3-24; Zothner, column 9, line 64 through column 10, line 8; and Hart, column 5, line 59 through column 6, line 34), and to direct to a client the modified interface so that through the modified interface the user can cause the production of the target document by the selected production device in accordance with a selection of one or more of the user accessible controls provided by the modified interface (Wood, column 5, lines 3-24); one or more device records, each device record containing data representing the production options offered by the production device (Adolfsson, column 9, line 66 through column 10, line 10); a permission engine operable to parse the device records and generate an web page for managing user records (Adolfsson, column 16, lines 44-50 and column 4,

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lines 21-23 and Zothner, column 9, line 64 through column 10, line 8); a device locator operable to detect new production devices; and an update service operable to create a device record for each newly detected production device (Adolfsson, column 16, line 51 through column 17, line 5).

Since the combination of Wood, Hart, Zothner, and Adolfsson discloses all of the above limitations, claims 35, 36, and 38 are rejected.

### ***Response to Arguments***

22. In the remarks, the applicant has argued:

- **<Argument 1>**

The combination of Wood and Hart does not disclose the features of claim 1 because it does not disclose “modifying the retrieved user interface according to the accessed data so that the interface provides user accessible controls for selecting only those options for which the user has permission to access” as recited in claim 1.

23. In response to argument 1, the combination of Wood and Hart does disclose the modifying step as recited in claim 1. The previous line citation to Hart, column 6, lines 12-34, shows the generation of custom programs that may include a customized web page so that a remote user can accomplish a certain authorized task. The custom programs are generated (or modified) based on the authorized task. Although the applicant states that “modifying” a “retrieved” interface is different from this type of program generation, Hart’s generated interfaces are “custom” and thus are clearly modified for a specific requested task, different from one to the next. Thus, it is maintained that the combination of Wood and Hart meets the

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limitations at hand as generating an interface in this way is in fact a retrieval and modification of an interface before the interface is presented to the user.

24. In addition, the applicant has argued that claims rejected under 35 U.S.C. 103, but not explicitly discussed, are allowable based on the above arguments. Thus, claims disclosing similar limitations to the discussed claims and related dependent claims remain rejected under the same reasoning as presented above.

### *Conclusion*

25. The applicant's amendment necessitated the new grounds of rejection presented in this office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). The applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

26. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Victor Lesniewski whose telephone number is 571-272-3987. The examiner can normally be reached on Monday through Thursday.


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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bunjob Jaroenchonwanit can be reached on 571-272-3913. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



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